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Application guidelines for the first round of applications to the Specific International Programme to Support Capacity-building and Technical Assistance

Note by the secretariat

The application guidelines for the first round of applications to the Specific International Programme to Support Capacity-building and Technical Assistance, referred to in the note by the secretariat on the overall report on the Programme (UNEP/MC/COP.2/9), are set out in the annex to the present note, without formal editing.

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Annex

MINAMATA CONVENTION ON MERCURY

Application Guidelines
Specific International Programme

First Round of Applications

Call for Applications opened on 5 June 2018
Deadline for Submission is 31 August 2018

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Introduction

This document provides guidelines on the project application process of the Minamata Convention's Specific International Programme to support capacity-building and technical assistance.

The Specific International Programme, which forms part of the financial mechanism of the Minamata Convention, is set up to assist developing countries Parties and Parties with economies in transition to develop projects to improve their capacity to implement their obligations under the Minamata Convention on Mercury.

The first meeting of the Conference of Parties of the Minamata Convention, which met in Geneva in September 2017, agreed on arrangements to give effect to the Specific International Programme as contained in decision MC-1/6. (Please see Annex I to this document.) This decision includes in its annexes elements outlining **guidance** on the scope, eligibility, and operations of the Programme. The decision also includes a **terms of reference** for the Programme that includes elements related to the project application process, screening, appraisal and approval. The Governing Board of the Specific International Programme oversees the Programme, and takes operational decisions to ensure the Programme adheres to the guidance of the Conference of Parties. This includes that the Governing Board endorses, as appropriate, the criteria and procedures for application, assessment, reporting and evaluation, as applicable, to the Programme.

The guidelines on the application process presented here are as endorsed for the Specific International Programme following the first meeting of the Governing Board of the Programme which met in Geneva on 15-16 May 2018.

These guidelines apply to the first round of applications to the Specific International Programme. This first call for applications will serve as a pilot for the Programme for this first year of programmable funding. The Governing Board with the Secretariat of the Minamata Convention may adjust the criteria or approach for subsequent rounds based on the experiences gained in this first round.

The call for the first round of applications opened on 5 June 2018. **The deadline for application to the first round is 31 August 2018.**

These application guidelines are structured as follows:

Chapter 1 The first chapter addresses key questions about applications to the Specific International Programme.

Chapter 2 The second chapter provides more information on the measures and activities for which funding can be sought under the Specific International Programme.

Chapter 3 The third chapter sets out how to conceptualise a project for the Specific International Programme, and takes you through an example project.

Chapter 4 The fourth chapter gives specific information on how to complete the various parts of the application, namely:

Form IA Project Proposal Summary
Form IB Project Description
Form IB Annex I Additional Project Information
Form II Project Budget

Chapter 1: Key Questions about Applications to the Specific International Programme

1.1. Who can apply to the Specific International Programme?

Eligible **Governments** can apply to the Specific International Programme.

Governments from developing country Parties to the Minamata Convention and Parties with economies in transition are considered eligible.

Furthermore, the Specific International Programme takes full account of the specific needs and special circumstances of Parties that are small island developing States and least developed countries.

At present it is not resolved whether resources of the Specific International Programme will also become available to non-Parties or to Signatories of the Minamata Convention. This matter will be brought to the second meeting of the Conference of the Parties of the Minamata Convention that will meet 19-23 November 2018.

Therefore, for the current application round only applications from the Governments of eligible Parties to the Minamata Convention can be considered.

Governments here refer to the national government ministry or department in charge of implementing the obligations of that country under the Minamata Convention. Affiliations of governments and local governments are not eligible.

Form IA contains the requirement that the National Focal Point of the country to the Minamata Convention endorses the application on behalf of the Government before the Government applies. An endorsement letter from the National Focal Point should be part of the official application package that the Government sends (electronically and by post) to the Secretariat at the time of submission, and before the set deadline of the first application round.

1.2. What amount is available for projects under the Specific International Programme?

The Specific International Programme may provide support from USD50,000 to USD250,000 per project proposal. This includes possible administrative fees and fees for monitoring, evaluation and financial audits.

1.3. What is the duration of the project?

Projects should be completed within 36 months/three years.

1.4. Who are the National Focal Points?

The Minamata Convention in Article 17, paragraph 4 makes provision for the designation of National Focal Points to the Minamata Convention for the exchange of information under the Convention, including with regard to the consent of importing Parties under Article 3.

The National Focal Point is also requested to take on the role of endorsing and certifying applications to the Specific International Programme. The endorsement and certification consists of a signature as part of Form IA, section 4, and further a letter of endorsement appended to the application.

The list of National Focal Points can be found on the Minamata Convention website.

It is preferred that the National Focal Point only submits one application from the country.[1]

In the event that a project is put forward involving more than one Party, one lead Party would need to be identified to sign Form IA. All the respective National Focal Points are to provide (or co-sign) a letter of endorsement.

1.5. Where does one obtain the application forms?

The complete set of application forms can be downloaded from the website of the Minamata Convention:

Website: www.mercuryconvention.org

1.6. What does a complete application consist of?

The complete set of application forms consists of:

1. Form IA — Project Proposal Summary
2. Form IB — Project description
3. Form IB Annex I — Additional Project Information
4. Form II — Project Budget

[1] In cases where there may be more than one proposal at the national level, the National Focal Point should coordinate among the proponents and submit a common proposal.

A complete application consists of all of the above forms filled in and **signed** by the applicant and the National Focal Point (Form IA, section 4).

A complete application further also includes:

5. Endorsement letter from the National Focal Point
6. Letter from organization/institution delivering the project (if relevant)
7. Letter(s) of participating partner(s) (if relevant)
8. Confirmation of funding from the applicant (if relevant)

A checklist of essential elements to make the application complete is in Form IA under section 3.

1.7. What is the deadline for applications to reach the Secretariat?

The first round of applications to the Specific International Programme has a deadline of 31 August 2018.
Applicants are encouraged to submit their application packages **in English only** as early as possible in advance of the deadline in order for the Secretariat to review the applications for completeness and eligibility, and provide guidance as required.

To meet the deadline, advance electronic copies of the applications signed by the applicant and the National Focal Point, can be sent to the Secretariat by email:

Email: MEA-MinamataSecretariat@un.org

The original should be submitted to the Secretariat by post to:

Address: **Specific International Programme**
The Secretariat of the Minamata Convention
International Environment House I
11-13 Chemin des Anemones
CH-1292 Chatelaine
Geneva, Switzerland

1.8. What happens once the applications are submitted?

The Secretariat will acknowledge receipt of the application package one week after receipt.

Step 1: Screening by the Secretariat

The Secretariat then **screens** the applications to ensure they are complete and eligible. Once screened by the Secretariat, the applicant will be informed if the application is considered complete and eligible *ad interim* and can be reviewed by the Governing Board of the Specific International Programme.

During the screening process the Secretariat may request additional information or clarifications from the applicant, in order to facilitate the eligibility and completeness process.

Step 2: Appraisal by the Secretariat

The Secretariat conducts the appraisal of the applications based on the criteria and procedures as endorsed by the Governing Board of the Specific International Programme.

The Secretariat will appraise the project applications with the appropriate staff within the Secretariat and present the appraisal for consideration and decision to the Governing Board.

The Secretariat may consult with relevant international governmental organizations during the appraisal process.

Step 3: Approval by the Governing Board

The Governing Board will review all complete and eligible project applications at the Board's annual face-to-face meeting, taking into account the appraisal undertaken by the Secretariat.

The Governing Board will approve project applications, subject to the availability of funds.

Step 4: Notification of Applicants

The Secretariat will notify the applicants in writing of the decision of the Governing Board.

Step 5: Setting up Implementation Arrangements

The use of financial resources within the United Nations is guided by the UN Financial Regulations and Rules. Activities financed by the Specific International Programme will be implemented in accordance with the financial management of projects provisions as per standard UN Environment Programme practices.[2]

Project management arrangements include the conversion of applications into relevant legal instruments which form the basis of a signed funding agreement (a Project Cooperation Agreement) between the applicant and the UN Environment Programme, the trustee of the trust fund of the Specific International Programme.

Financial and reporting arrangements will be set up with the applicant country representative who will act as the project manager.

[2] Programme Manual of the United Nations Environment Programme, see chapter on "Financial Management of projects with grant award mechanism".

Chapter 2: Measures and Activities that can be funded by the Specific International Programme

Expected Outcome of the Specific International Programme: The Specific International Programme is to support projects that help improve the capacity of developing country Parties and Parties with economies in transition in implementing their obligations under the Minamata Convention.

The **scope** of the Specific International Programme extends to support capacity-building and technical assistance in accordance with paragraph 6 (b) of Article 13 of the Minamata Convention.

The guidance on the Specific International Programme states that the technical assistance and capacity-building activities funded by the Programme should avoid duplication and overlap with the technical assistance and capacity-building activities undertaken by the Secretariat that is called for by Article 14 of the convention text.

The guidance on the Specific International Programme also sets out that the Programme is to ensure complementarity and avoid duplication with other existing arrangements that provide capacity-building and technical support, including the Global Environment Facility, the Special Programme on institutional strengthening, and other existing assistance frameworks.

The Governing Board decided that the first round of applications shall be a pilot from which lessons may be drawn for future rounds Rather than set out a list of measures and activities that the Specific International Programme would fund, the Board supports eligible Parties to **self-identify its national priorities** for funding support. Eligible Parties may wish to consider outcomes from GEF MIAs they may be undertaking to consider national priorities.

To assist the applicant country in the development of an application based on national priorities, the Board laid out the following **criteria** to guide applicants. These criteria form the criteria for appraisal of and decision-making on the applications for the first round of applications to the Programme:

(a) Measures are within the scope of the Specific International Programme and improve capacity to implement the obligations under the Minamata Convention;

(b) Proposals contribute to the expected outcomes of the Specific International Programme;

(c) Proposals are country-driven, in support of national priorities;

(d) Project outcome(s) are sustainable over the medium and/or longer term;

(e) Proposals include performance targets (project milestones that show progress towards completing the project outputs and achieving the overall project outcome) that measure the improvement in the capacity of developing country Parties and Parties with economies in transition in implementing their obligations under the Convention;

(f) Evidence of political commitment of institution or organization delivering the project;

(g) Participation and commitment of partners and other relevant actors, as applicable;

(h) Country status of the applicant, including whether the applicant is a small island developing State or a least developed country;

(i) Project is complementary to other existing arrangements, in particular the GEF, the Special Programme and other existing assistance frameworks, if relevant;

(j) Avoiding duplication of projects in the same country;

(k) How the project builds on previous initiatives and projects, established mechanisms and draws on lessons learned;

(l) How the project engages at the national level, and, where applicable, in the regional context;

(m) How the project is consistent with the integrated approach to financing the sound management of chemicals and waste[3], as relevant to the implementation of the Convention;

(n) How the project responds to gender considerations; and

(o) Project outcome(s) contribute(s) to the Sustainable Development Goals and do not generate adverse environmental or social effects in other areas.

It is to be noted, that the Governing Board may in the future, also be guided by the following additional criteria in its decision-making on applications:

(a) Determination of cumulative allocations to a country, based on the contributions received and the needs expressed in the applications submitted within the Specific International Programme;

(b) Consideration of reports of earlier projects funded by the Specific International Programme involving the applicant.

[3] The **Integrated Approach** to long-term funding of the Chemicals and Waste agenda was adopted by the UNEP Governing Council in February 2013 (UNEP/GC.27/7), after being developed in a country-led consultative process. At the first meeting of the United Nations Environment Assembly in June 2014, Governments welcomed the Integrated Approach in its Resolution 1/5. The Integrated Approach is composed of three components: (a) mainstreaming, (b) industry involvement and (c) dedicated external finance. These components are considered to be mutually reinforcing and are all important for the financing of the sound management of chemicals and waste at all levels.

Further to note, is that UNEA 1/5 through Annex II gave effect to set up the **Special Programme** to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention, and the Strategic Approach to International Chemicals Management.

Chapter 3: How to conceptualise your Project

An important first step in the application process is to clearly set out the main aspects of the project in a way that lets others understand the key points, the intentions of the intervention, the components and its contributors, the roles and responsibilities, the products the project will produce, and the resources required for the successful delivery of the project.

This chapter sets out a tool and some considerations that may be of help to applicants in their conceptualisation of their project and before beginning to fill in the application forms.

First this chapter introduces the **Theory of Change** as a conceptual tool that applicants may wish to consider in the planning of their project application. The consideration of the Theory of Change is becoming widely supported as best practice in project management planning. Mapping the Theory of Change is increasingly seen as an imperative preparatory step for clear, effective project design. It is suggested here, to consider using a Theory of Change approach to conceptualise the project design as a first step, to help set out the different sections that will need to be filled in as part of the application forms, and specifically to help crystalizing the proposed measures (sections 1.5, 1.6, and 5.1), the logical framework (section 5.4) and the workplan (section 5.8) of the project application form.

After introducing the Theory of Change, this chapter puts forward an example of an **example project** that could be put to the Specific International Programme to show how the Theory of Change approach can be used to conceptualise a project. The example project serves simply as illustration of how to move from project idea, through project planning, to sound project design and management that will be reflected in the narrative and financial application forms. This example project is then used also in the next chapter of these guidelines to help illustrate how to fill in the application form.

3.1 Theory of Change as tool to conceptualise the planning of a project

The Theory of Change is a **tool for the planning of projects** that aim to affect political, economic and/or social change. The aim of a Theory of Change is to understand the dynamics of change and the logical pathways between preconditions and project objectives. It maps how change can occur, and the values that underpin views on how change happens.

In the simplest terms, the Theory of Change is a mapping exercise that is undertaken in a backward direction. It starts by defining the long-term goal, working backwards to identify intermediate steps and preconditions, explicitly depicting the causal pathways from outputs to outcomes, via intermediate states, towards impact.

The **outputs** of a project are the services and products delivered, and are always tangible. Outputs relate to the completion of activities. They can be technical guidance materials, reports or training sessions, for example. Managers have a high degree of control over them.

The **outcomes** of a project are the changes resulting from the project outputs. They are observed as changes of behaviour, knowledge or skill, or can also be a change in attitude, action or condition. Examples of outcomes could include improved knowledge and technical capacity, improved coordination and communication between stakeholders or increased awareness.

The **impact** of a project is defined as the beneficial long term change to the environment and to human living conditions. In the case of the Minamata Convention, and all projects that contribute to its implementation; the impact is that human health and the environment are protected from anthropogenic emissions and releases of mercury and mercury compounds.

The **intermediate states** are the periods of change required after the achievement of outcomes in order to reach the impact; such as the adoption of a chemicals management strategy on a national level or a shift towards the use of alternatives and abatement technologies, for example.

The aim of a Theory of Change is to make the logical pathways explicit. Defining these pathways and precise links between the activities needed and achieving the long term goals contributes to a better understanding of how change will occur. This then becomes a roadmap for the project implementation phase, with clear routes and measurable distances.

The Theory of Change also maps external factors that influence change along the major causal pathways defined. These factors can either be drivers or assumptions.

Drivers are external factors required to reach a next level result in the project implementation, over which the project can exert a level of control; such as the level of engagement of stakeholders and partners, or the level of awareness of policymakers.

Assumptions are external factors required to reach a next level result in the project implementation, over which the project has no control over; such as the country's economic landscape or its political turn-over.

Identifying drivers and assumptions are central to the exercise, because they inform the strategic approaches to be employed during implementation.

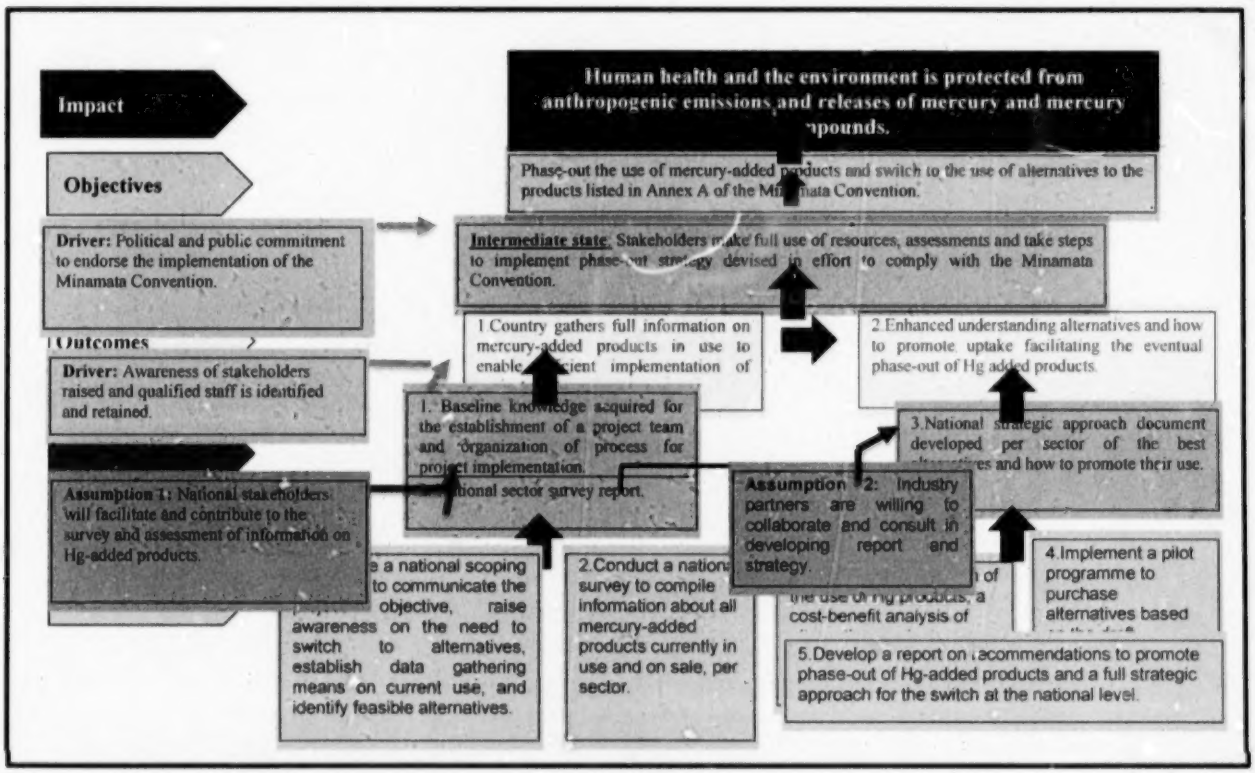
A Theory of Change can be represented either diagrammatically or as a narrative. A narrative of the Theory of Change allows for detailed discussion of stakeholder roles, needs and choices and chronological description of change dynamics. A visual representation of the Theory of Change can serve as a summary and make communicating the project's logic easier. Theory of Change diagrams can be simple or complex, depending on how much information is available and the scale of the project being designed.

PLEASE NOTE: Applications to the Specific International Programme do not require the insertion of a description of the Theory of Change of the proposed project into the application forms. The information in this sub-section of the chapter is included merely as supplementary information to support applicants, if necessary, in their pre-preparations to fill out the application form.

3.2. Example Project as Illustration: Switching to alternatives to products listed in Annex A

To illustrate how to use the Theory of Change approach, and how to fill in the application form, we have come up with an example project where the stated project outcome is: **to switch to the use of alternatives to the products listed in Annex A of the Minamata Convention.**

If we were to develop a Theory of Change for the example project on switching to alternatives, a visual diagram of the Theory of Change, may look something like this:


Impact
Human health and the environment is protected from anthropogenic emissions and releases of mercury and mercury compounds.
Objectives
Phase-out the use of mercury-added products and switch to the use of alternatives to the products listed in Annex A of the Minamata Convention.
Driver: Political and public commitment to endorse the implementation of the Minamata Convention.
Intermediate state: Stakeholders make full use of resources, assessments and take steps to implement phase-out strategy devised in effort to comply with the Minamata Convention.
Outcomes
1 Country gathers full information on mercury-added products in use to enable efficient implementation of
2 Enhanced understanding alternatives and how to promote uptake facilitating the eventual phase-out of Hg added products.
Driver: Awareness of stakeholders raised and qualified staff is identified and retained.
1. Baseline knowledge acquired for the establishment of a project team and organization of process for project implementation.
national sector survey report.
3.National strategic approach document developed per sector of the best alternatives and how to promote their use.
Assumption 1: National stakeholders will facilitate and contribute to the survey and assessment of information on Hg-added products.
Assumption 2: Industry partners are willing to collaborate and consult in developing report and strategy.
e a national scoping to communicate the objective, raise awareness on the need to switch to alternatives, establish data gathering means on current use, and identify feasible alternatives.
2.Conduct a national survey to compile information about all mercury-added products currently in use and on sale, per sector.
the use of Hg products, a cost-benefit analysis of
4.Implement a pilot programme to purchase alternatives based
5.Develop a report on recommendations to promote phase-out of Hg-added products and a full strategic approach for the switch at the national level.

3.3 Moving from the Theory of Change to fill in the Logical Framework

The **Logical Framework** (or Logframe), which takes the form of a table, is a key part of a project document and serves as the key planning tool to reflect the insights gained from doing a Theory of Change exercise in preparation of a project application.

The Logical Framework describes the project components and explains the details of how the project will operate and will affect the change intended. It will serve as the roadmap for implementation and as a tool for evaluating and monitoring progress. It is the concrete blueprint of the project plan, assuming a linear cause and effect relationship between the activities and outputs, taking into account assumptions and baseline and setting out timeframes, targets, indicators of success, means of verification and potential funding opportunities for project implementation.

The Logical Framework used in the Specific International Programme application (section 5.4) is a simplified version and is set out as follows:

In ascending lines (from long to short term) the following information is set out:

(a) project objective;
(b) project outcome,
(c) project activity and outputs, and
(d) project activity/output milestones.

The columns across detail the following information:

(a) how these objectives will be measured through indicators (measuring achievements),
(b) how progress will be verified through means of verification (evidence to support),
(c) time frame of the milestones and their reporting period.

The time frames in the Logical Framework would be replicated as necessary into the project workplan of the application form (section 5.8).

Chapter 4: How to complete the Project Application Forms

This chapter will give step-by-step information on how to fill in the project application forms, as well as indicate the additional items needed to have a complete application package to submit to the Secretariat. The example project introduced in Chapter 3 of switching to alternative products is used throughout the example boxes for illustrative purposes.

Project Application Form IA
Project Proposal Summary

Form IA gives on overview of the project proposal. It consists of sections 1 to 4, as shown below.

1. PROJECT PROPOSAL SUMMARY

1.1. **PROJECT TITLE:** Please fill in the title of the project.

1.2. **DURATION:** Please indicate the proposed project duration, expressed in the number of months, noting that 36 months (3 years) is the maximum duration of a project.

According to UN financial rules and practices a project is to be closed as soon as possible after the date of operational completion, and no more than 12 months after.

1.3. **COUNTRY STATUS:** Please confirm that your country is a Party to the Minamata Convention. Further please indicate that it is a developing country, country with an economy in transition, a small island developing State or a least developed country. Please also indicate whether your country is undertaking a GEF MIA and/or is developing a GEF NAP.

1.4. **PROJECT EXECUTIVE SUMMARY:** Please present in brief the outline of the project, its objectives and outcomes[4] (approximately 250 words). **It is important that this executive summary is developed so that it can be publically disseminated as a stand-alone item.** The summary should be developed in a manner that is easily understood by decision makers and stakeholders.

1.5. **PROPOSED MEASURES:** Please list concretely and clearly the measures, activities or outputs[5] which are proposed for financial support in line with the expected outcomes of the Specific International Programme. The proposed measures and activities should be consistent in Form IA section 1.5 and 1.6, and in Form IB section 5.1 and in its Logical Framework also section 5.4.2.

The proposed measures should clearly demonstrate how they facilitate improving the capacity of the country to implement its obligations under the Minamata Convention and be guided by the criteria set out by the Governing Board for the first call for applications, and reflected in Chapter 3 of these guidelines.

[4] **Outcome:** The uptake, adoption or use of project outputs by the project beneficiaries. Observed as change of behaviors, attitude/action, condition, knowledge or skill.

[5] **Outputs:** Outputs are the products, capital goods and services delivered by the project. Outputs relate to the completion of activities. Managers have a high degree of control over them.

1.5	**PROPOSED MEASURES**	**EXAMPLE PROJECT: The project outcome is to switch to the use of alternatives to the products listed in Annex A of the Minamata Convention.** **In line with this the following measures are proposed:** 1. Evaluation of the extent of use of products listed in Annex A of the Minamata Convention 2. Undertaking an analysis of costs and activities to convert to alternative products 3. Develop a strategy to change to alternative products, along with an appropriate time line 4. Implement a pilot programme to purchase alternatives 5. Roll out a strategic approach (nationally) (sectorally) 6. Monitoring, review/evaluation and financial audit *(this proposed measure is mandatory)*

Box 1 **Examples of proposed measures based on the example project.**

1.6. **EXPLAIN HOW EACH PROPOSED MEASURE SUPPORTS COUNTRY CAPACITY TO IMPLEMENT OBLIGATIONS UNDER THE MINAMATA CONVENTION:** Please demonstrate concretely here how the proposed measures listed in section 1.5 will improve the capacity of the country to implement its obligations under the Minamata Convention.

Please note, that section 1.5 and 1.6 contribute to the Logical Framework, and are considered measureable.

1.7. **MEASURES OF INTERNALISATION INTO NATIONAL PRIORITIES:** Please list here the concrete measures that are in place or are to be taken to ensure that the national capacity supported by the Specific International Programme is cumulative and sustainable in the long term.

Please note, that this section will not be reflected in the Logical Framework. The measures listed here are to capture country indications on national prioritisation, as well as indicate how the project will improve national capacity in implementing the obligations under the Convention.

1.7	**MEASURES OF INTERNALISATION INTO NATIONAL PRIORITIES**	The following measures of internalisation into national priorities will be implemented in conjunction with the project implementation to ensure the sustainability of the project outcomes and outputs: 1. Engage national staff *(rather than only consultants)* in the analytical and planning processes to enable replication of the project 2. Share regular updates of progress, and solicit formal feedback to the overall planning to build common knowledge 3. Ensure that public procurement budgets are directed/informed by findings and commit to compliance purchasing *(i.e. apply findings even to government processes)*

Box 2 **Examples of some proposed possible measures of internalisation based on the example project. These measures may vary greatly according to national contexts. Many countries will have MIAs to draw from.**

1.8. **SUMMARY OF OVERALL COUNTRY APPROACH TO BUILDING COUNTRY CAPACITY TO IMPLEMENT THE MINAMATA CONVENTION:** Describe how your country is improving the capacity of its respective relevant sectors to implement its obligations under the Minamata Convention. The long-term value and sustainability of the project and its outcomes should be highlighted.

1.9. **BUDGET AND FUNDING SUMMARY:** List the project budget for each proposed measure as presented in section 1.5. The budget and funding summary presents the requested amount from the Specific International Programme. If an applicant country will itself make a contribution, this is to be captured here. Note co-financing is not required, but there may be cases where co-financing makes sense and it can be recorded here.

1.10 **BUDGET AND FUNDING SUMMARY**
List the budget for each proposed measure by funding source in USD

	Request from the Minamata Specific International Programme Trust Fund	Possible Applicant Country Contribution, if relevant (cash and/or in kind)
Proposed measure 1	50 000	
Proposed measure 2	50 000	25 000
Proposed measure 3	60 000	25 000
Proposed measure 4	10 000	
Subtotal	170 000	50 000
Grand total	220 000	

Box 3 **Example of a budget showing both the SIP requested amount, and if applicable, the amount or value of other possible contributions from the applicant country, based on the example project.**

1.10. **ADDITIONAL INFORMATION REGARDING FUNDING SOURCES:** Indicate all other related contributions from the Government, as well as funding received or requested at the national and international level, including from other governments, intergovernmental organizations, foundations and the private sector. List specifically in Form IB Annex I all related projects that may have been funded or applied for from funding from the GEF, the Special Programme or other sources. Information on other funds is useful to situate the importance of your application.

Indicate whether the funds from other sources have been confirmed, and if not whether the viability of the project is dependent on the confirmation of the other funding.

If contributions of cash or in-kind have been confirmed, please note their amount or value.

2. CONTACT DETAILS

2.1. **APPLICANT:** Please provide the details of the responsible officer and organisation/institution submitting the application.

2.2. **ORGANIZATION/INSTITUTION DELIVERING THE PROJECT, IF RELEVANT:** If relevant, that is, if delivery of the project is not directly through the applicant, please provide the details here of the responsible officer and the organization/institution that is to deliver the project.[b] Correct contact details are essential for follow-up. If it is the same as the applicant, please state clearly in this section that it is the same.

Please note that if the organisation/institution delivering the project is not a government or UN entity, then a due diligence exercise will be carried out in accordance with the UN Environment Programme's Partnership Policy prior to developing the legal agreement with this entity. Adequate time needs to be factored into the project period for this process.

[b] It is understood that the applicant's organization, agency or ministry is the implementer of the project, since it will have the overall responsibility and will be the main coordinator of the project. Applicants may, however, choose to transfer this responsibly to another organization, agency or ministry. In compliance with UN financial rules, profitmaking companies cannot serve as project delivery organizations.

2.3. **PARTICIPATING PROJECT PARTNERS, IF APPLICABLE:** Please provide details of the intergovernmental organization(s), or governmental entity(ies), or other actors such as non-governmental organization(s), or the regional and sub-reginal centres established under the Basel Convention and Stockholm Convention. Please provide letters of support from all participating project partners and submit them as part of the application package.

2.4. **MONITORING AND REVIEW OR EVALATION OF THE PROJECT:** Monitoring, review and evaluation are a necessary element of all sound project management. Monitoring, review and evaluation enables managers to measure performance, identify areas of good practice or possible improvement, and therefore provides for adaptive management, operational improvement and positive learning.

TERMINAL REVIEW: For projects up to the value of USD150,000 please make provision for a terminal review of the project. A terminal review can be done internally by the applicant organization/institution or externally if the applicant so wishes.[7] The terminal review falls under the responsibility of the applicant. Terminal reviews should follow the guidance provided by the Evaluation Office of the UN Environment Programme. Provision should be made for the terminal review in the proposed measures of the project, and also in the budget consideration. The amount budgeted for the terminal review may be around USD2,000, but should not exceed USD4,000.

TERMINAL EVALUATION: For projects between USD150,000 to USD250,000 please make provision in the budget for an evaluation of the project. Evaluations fall under the responsibility of the Evaluation Office of the UN Environment Programme. For projects under the Specific International Programme over the amount of USD150,000 terminal evaluations be required. These terminal evaluations will be initiated based on criteria as identified by the Evaluation Office. The Secretariat of the Minamata Convention will manage the process of the terminal evaluations. These evaluations will be done by independent evaluators. For this purpose, for projects until USD 200,000 the amount of USD8,000 will need to be retained by the Secretariat, and for projects until USD250,000 the amount of USD10,000 will need to be retained.

Therefore, in section 2.4 please indicate whether your project is to undergo a Terminal Review or a Terminal Evaluation. If it is to undergo a Terminal Review, please indicate who would be the contact person for the Terminal Review. The Terminal Reviews of the projects funded by the Specific International Programme may be collated by the Secretariat of the Minamata Convention.

[7] If in-house capacity is not available, the applicant may wish to identify, for example, an academic institution, a research centre, and independent consultant or a non-governmental organisation for this task.

2.5. **FINANCIAL AUDIT:** The use of resources within the United Nations is guided by the UN Financial Regulations and Rules. The United Nations Secretariat, under which the UN Environment Programme and the Secretariat of the Minamata Convention falls, are subject to audit by the UN's Joint Inspection Unit, the UN Office of Internal Oversight Services and the UN Board of Auditors in this regard. All projects under the Specific International Programme are externally executed, and therefore the applicant country is responsible for the financial management of the project. Expenditure reports should be certified by an authorised official from the applicant country institution attesting to the accuracy of reported expenditures, that resources have been used in accordance with budget provisions and the terms of conditions of the implementation agreement and that all expenditures are supported by relevant documents. The UN Environment Programme can only accept expenditures that are in line with the approved budget. These provisions will be reflected on in the legal agreement that will be signed between the UN Environment Programme as trustee of the Specific International Programme, and the applicant.

While certified financial statements provide some assurance of authenticity, financial statements must also be independently verified by an external auditor. **As part of the provisions in a standard Project Cooperation Agreement with the UN Environment Programme comes the requirement to be audited at the end of the project's implementation.**

The auditing arrangements must comply with acceptable international standards. In cases where the project is delivered through a Ministry or Governmental Agency, the auditing arrangements for the Ministry or Governmental Agency as a whole may be applied to the project: In cases where the project is not delivered through the Ministry/Governmental Agency or cannot fall under the auditing arrangements for the Ministry/Governmental Agency, applicant countries are required to identify an external auditing firm or entity. The auditor would be required to make an audit report of project expenditures after the completion of the project.

The budget for an audit should not exceed USD5,000.

It is to be noted, that while the arrangements of the audit are left to the applicant country, the project may not be precluded from the audit by the UN Office of Internal Oversight Services (OIOS) or the UN Board of Auditors according to applicable rules, regulations, administrative issuances, policies and practices of the United Nations and the UN Environment Programme.

Therefore, in section 2.5 based on the explanation above, and depending on the arrangements, please indicate who would be responsible for auditing.

3. APPLICATION PACKAGE CHECKLIST OF ESSENTIAL ELEMENTS BEFORE SUBMISSION

Please review the list and check all relevant boxes before sending the application to the secretariat. Applicants are invited to note that budgets, annexes, letters of support, including the endorsement letter from the National Focal Point are mandatory requirements of the application. The GEF operational focal point has to have been consulted. Without these checks the application will be deemed incomplete.

4. ENDORSEMENT AND CERTIFICATION

4.1. **ENDORSEMENT AND CERTIFICATION:** The National Focal Point section provides for the signature to signify endorsement and certification of the application by the Party. The National Focal Point should also submit an endorsement letter to the Secretariat as part of the application.

4.2. **APPLICANT CERTFICATION**: The Applicant is to sign and date the application before sending it by post to the Secretariat. The **signed** advance electronic copy of the application should be submitted by email to the Secretariat to meet the application deadline. **However, the application will only be considered complete upon receipt of the original signed copy with all required completed forms and additional supporting documents.**

Project Application Form IB
Project Description

Form IB provides more detailed and descriptive information on the project proposal. It is the heart of the application and consists solely of section 5, as detailed below.

This section is an essential part of the application, it has to be developed in full by the applicant and must include the elements outlined in its sub-sections. The example project introduced in Chapter 3 of switching to alternative products is used throughout the example boxes for illustrative purposes.

5. PROJECT DESCRIPTION

5.1. DETAILED DESCRIPTION OF EACH PROPOSED MEASURE: This section makes reference back to Form IA sub-sections 1.5 and 1.6. Please explain in detail here in a clearly structured manner each of the proposed measures you are suggesting, how these measures and activities will improve the capacity of your country to implement its obligations under the Minamata Convention. The proposed measures should strengthen capacity-building at the country level and strengthen technical know-how and its application.

The proposed measures are expected to lead to strengthened national abilities in line with the expected outcomes of the Specific International Programme. The proposed measures may encompass all activities pursuant to Articles 13 and 14 of the Minamata Convention. Please see Chapter 2 of these guidelines for the criteria that will guide the Governing Board in its assessment and decision-making of proposals.

All stakeholders, including intergovernmental organizations, ministries or departments involved under each proposed measure must be clearly identified.

Define the roles and responsibilities of all project delivery partners. Where appropriate, the multi-stakeholder and multi-sectoral aspects of the project and its implementation should be clearly identified. The relevant knowledge, experiences, competencies possessed by the different stakeholders to deliver the project successfully should be stressed.

In explaining the proposed measures, clearly indicate also how these measures to strengthen capacity will be sustainable in order to ensure long-term value for your country

It is imperative that only directly relevant information is presented in this section.

5.1	DETAILED DESCRIPTION OF EACH PROPOSED MEASURE	**The project outcome is to switch to the use of alternatives to the products listed in Annex A of the Minamata Convention.** The following measures will be achieved during the project: **1. Evaluation of the extent of use of products listed in Annex A of the Minamata Convention** … **2. Undertaking an analysis of costs and activities to convert to alternative products** … **3. Develop a strategy to change to alternative products, along with an appropriate time line** …. **4. Implement a pilot programme to purchase alternatives** ….. **5. Roll out a strategic approach (nationally) (sectorally)** ….. **6. Monitoring, evaluation and financial audit (this measure is mandatory)** ….

Box 4. **Project description in line with the measures listed in sub-section 1.5 and detailing clearly under each measure how these measures and activities will improve your national capacity.**

5.2. DETAILED DESCRIPTION OF THE MEASURES OF INTERNALISATION INTO NATIONAL PRIORITIES: Please provide a detailed description of the measures of internalisation listed in Form IA sub-section 1.7, that are in place or are to be in place to ensure that the national capacity supported by the Specific International Programme is sustainable in the long term.

Please noted above, this section will not be inserted into the Logical Framework. The measures described here are to capture country indications on national prioritisation, as well as indicate how the project will improve national capacity in implementing the obligations under the Convention.

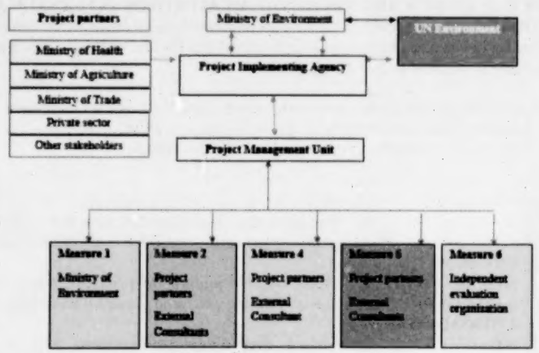
5.2	DETAILED DESCRIPTION OF MEASURES OF INTERNALISATION INTO NATIONAL PRIORITIES	1. **Engage national staff (rather than only consultants) in the analytical and planning processes to enable replication of the project** ... 2. **Share regular updates of progress, and solicit formal feedback to the overall planning to build common knowledge** ... 3. **Ensure that public procurement budgets are directed/informed by findings and commit to compliance purchasing (i.e. apply findings even to government processes)** ....

Box 5 **Detailed description of measures of internalisation in line with the measures listed in sub-section 1.7. These measures may vary greatly according to national contexts. Many countries will have MIAs to draw from.**

5.3. DETAILED INFORMATION ON PROJECT MANAGEMENT AND IMPLEMENTATION: Indicate the organization or institutions responsible for the management of the project.

Present the project implementation structure through an organizational diagram. Describe the composition, roles and responsibilities, as well as how decisions are made, as appropriate, for the following stakeholders:

- ☐ Project manager and government authority implementing the project,
- ☐ Lines of responsibility of project team members;
- ☐ External participating partners, highlighting each partner's responsibility in the project;
- ☐ The project Steering Committee or Project Coordination Committee, including specify the roles and responsibilities of the partners in decision-making processes;
- ☐ Indicate how the project will ensure both accountability of, and coordination between different relevant national authorities and partners.

5.3 DETAILED INFORMATION ON PROJECT MANAGEMENT AND IMPLEMENTATION	 The day-to-day management and administration of the project will be handled by the Project Management Unit headed by the Project Manager from the Ministry of Environment. The Unit will provide secretariat services that includes, among others: • Scheduling and coordinating meetings; • Setting the meeting agendas; • Producing documentation and distributing to members; • Recording and distributing to members meeting minutes; • Managing correspondence; • Hiring and managing personnel *This example schema provides for a project management unit to be established. Establishing a unit is not a requirement for projects. A project may be administered and managed by an individual, or a core group, or another constellation.*

Box 6. **Example of a schematic and narrative description of project management and implementation arrangements.**

5.4. PROJECT DESCRIPTION (LOGICAL FRAMEWORK)

5.4.1 Based on the **project <u>objective</u>,** develop an **overall project <u>outcome</u>**. The project outcome can inform the title of the project.

Specify the means for verification of the indicators and the targets. How will the project verify that the outcome has been met? Will it be by reports, other documentation, records, contracts, evaluation, or by other means?

List the project milestones for the overall project outcome and indicate the reporting period for each milestone[8]. Examples of project milestones include the fact that focal points have been established, a report has been published, or that a number of representatives have participated in a certain activity, or have been trained. The reporting period should be indicated on a biannual basis, for example Month 6/Year 1, Month 12/Year 2, and so on.

[8] **Performance Targets/Milestones:** Are benchmarks (not activities) that represent attainment of a project stage or project achievement that show progress towards project outcomes and outputs. Milestone attainment should be strictly answerable with a "yes" or "No" answer.

Outcome milestone will often show progress on a particular outcome indicator target, but can also be a major significance benchmark, believed to lead to the outcome.

5.4.1	**Overall project outcome**	**Indicators**	**Means of verification**
	The project outcome is to switch to the use of alternatives to the products listed in Annex A of the Minamata Convention.	Strategy for change agreed at national level **[Baseline: 0; Target: 1]** Strategic approach focal points identified (nationally) (sectorally) **[Baseline: 0; Target: 3]**	Publication of the national strategy (e.g. Government Gazette) Focal Point details made publically available

	Performance targets (project milestones that show progress towards completing the project outputs and achieving the overall project outcome)	**Expected milestone for each reporting period (biannual) Month/Year (e.g.)**
	Milestone 1: Completion of the evaluation of the use of products listed in Annex A of the Minamata, and analysis of costs and activities to convert to alternative products	**Month 6/Year 1**
	Milestone 2: Implementation of a pilot programme to purchase alternatives, based on the draft strategy developed to change to alternative products	**Month 12/Year 1**
	Milestone 3: Strategic approach in place (nationally) (sectorally)	**Month 12/Year 2**

Box 7. **Example of a description of the project logical framework at the <u>outcome</u> level based on the example project.**

5.4.2. Develop the **project <u>outputs</u>** in line with section 1.5 and 5.1. List the indicators for each project activities and related outputs. Indicate the number of areas/ partners/ specified activities/ persons/ progress/ percentage/ reports etc. and set a baseline. For example, if 1 legislation has been adopted by the country, then 1 will be set as a baseline for that indicators. If the proposed measure is to adopt an additional legislation, then the target would be 2.

This process should be followed for all proposed measures/outputs.

5.4.2	1. Project Activity /Output	Indicators	Means of verification
	Evaluation of the use of products listed in Annex A of the Minamata	Scoping workshop [Baseline: 0; Target: 1] Sectoral resource persons committed [Baseline: 0; Target 3] Worksheets on use [Baseline: 0; Target 6]	Meeting report Contacts Numerical reports
	Project activity/output milestones:		**Expected milest ıe for each reporting period Month/Year**
	M 1.1 Scoping workshop held and report finalised		**Month 3/Year 1**
	M 1.2 Lead agency received all inputs from sectoral resource persons		**Month 6/Year 1**
	M 1.3 Final report published		**Month 8/Year 1**

Box 8. **Example of a description of the project logical framework at the output level based on the example project.**

5.5. PROJECT ASSUMPTIONS: List the factors or conditions, and challenges that are likely to affect the successful achievement of project objectives (for example, institutional, financial, administrative, technical and political) and the mitigation measures that could be taken to reduce each risk. Indicate how the project managers would ensure successful implementation (strategies).

5.5	PROJECT ASSUMPTIONS	**Risk**: Delays in submission of sectoral information. **Mitigation measure:** Regular contact with sectoral resource persons to ensure sound awareness of the required information and to provide assistance in obtaining information as required. **Risk**: Lack of acceptance of alternative products by professionals **Mitigation measure:** Education and awareness campaign along with demonstrations of the suitability of alternatives.

Box 9. **Example of project assumptions and mitigation measures based on the example project.**

5.6. PROJECT GENDER CONSIDERATIONS: Indicate how the project takes into account gender considerations. For more guidance on how to integrate gender considerations into the project proposal please see box 11.

5.6	PROJECT GENDER CONSIDERATIONS	1. Utilise the evaluation of products listed in Annex A to bring greater awareness to the differentiated effects mercury and its compounds may have on women and children as vulnerable populations. 2. In the stream of work related to the health care sector bring specific attention to the different roles men and women often play (such as doctors, nurses, cleaning staff, etc.) and their relative exposure to emissions and releases of mercury and mercury compounds. 3. Promoting women's engagement and leadership in decision-making processes at national and global levels.

Box 10: **Example of project gender considerations component based on the example project.**

UNDP 2011 – Gender Mainstreaming Guidance Series: Chemicals and Gender

In relation to the involvement of women and vulnerable groups, the UNDP Guidance on Chemicals and Gender recommends two overarching interventions to guide gender mainstreaming in chemicals management:

(a) Promote a multi-stakeholder approach to ensure the participation of women and vulnerable populations in policy development and decision-making processes.

(b) Raise awareness of the linkages between chemical exposures, the effects on human health and the environment, and gender differences in risks and impact

Attention should therefore be paid to gender issues in the project in the Special Programme on the basis of two perspectives. One is in institutional development and the other is differences in risks when women and men are exposed to chemicals and waste.

With regard to institutional development, the systems should as far as possible be designed so that an even general distribution and equality at the workplace can be attained. In many countries there is a relatively large group of women who have relevant training to work in the area and there are favourable prospects for a good balance between the institutions. This does not apply to all countries, however, and attention must therefore be paid to these issues.

Exposure to chemicals affects both women and men. The exposure of men to chemicals has traditionally received greater attention, and research has been focused to a greater extent on men and the harm that can occur to them. Despite deficiencies in the research, there is a great deal of evidence to suggest that women in poor countries are exposed to hazardous chemicals to the same extent as men. This applies in the home, in agriculture and to an increasing extent in industrial work and in work linked to the recovery of metals from electronics. Women and men also exhibit differing sensitivity to chemicals due to physiological differences. It is particularly serious when children and pregnant women are exposed to hazardous chemicals, as foetuses and children are in many cases more prone to the effects of chemicals than adults and exposure at an early age may cause lasting damage, for example to the nervous system and reproductive capacity.

5.7. MONITORING AND REVIEW OR EVALUATION PLAN, AND FINANCIAL AUDIT: *Please refer to the explanation on Monitoring and Review or Evaluation (section 2.4) on page 17 of these guidelines and the explanation on Financial Audit (section 2.5) on page 18.*

In narrative form, please explain here how you plan to **monitor** the delivery of this project. The plan must be based on the objectives identified in the project description and the project workplan. Project activities and progress should be monitored according to indicators or targets. But the monitoring plan should not be too complex given the scale of the project.

The plan is to include the steps for regular monitoring and is understood to lead to the terminal **review** (by through the applicant country) or terminal **evaluation** (through the Evaluation Office of the UN Environment Programme/Secretariat of the Minamata Convention).

The approach to monitor, review and evaluate the project would need to consider:

- ☐ Performance of the project against its defined objectives,
- ☐ Performance against the expected outcomes of the Specific International Programme;
- ☐ Capacity of the project to target is beneficiaries;
- ☐ Stakeholders and sectoral involvement in the project implementation;
- ☐ Sustainability of the project and follow-up;
- ☐ Contribution of the project to the national capacity to comply with obligations under the Minamata Convention.

Monitoring and review/evaluation, and financial audit should be listed as separate outputs in the workplan and budget of the project. As noted in sub-sections 2.4 and 2.5, there is specific budget guidance on review/evaluation and audit, as neither review/evaluation nor audit is to be an excessive expense to the project.

5.8. PROJECT WORKPLAN: Please present a project workplan using the table included in Form IB. The workplan is an important tool for formulating and implementing a project. From the workplan, it is possible to assess the proposed implementation of the project, as follows:

- ☐ Are the time horizons realistic (for approval, negotiation with cooperating agencies or supporting organizations, delivery of outputs and administration)?
- ☐ Is the workload reasonably balanced?
- ☐ Are any activities likely to be help up by the timing of other activities?

5.8 **PROJECT WORKPLAN***

Rows and columns can be added as required. Please note that the number and descriptions of project activities must be in line with those reflected in the project description.

Project activities		Lead responsibility	Time frame (by quarter: every 3 months)											
No.	Description		1	2	3	4	5	6	7	8	9	10	11	12
1	Evaluation of the use of products listed in Annex A of the Minamata	Ministry												
1.1	Scoping workshop held and report finalised													
1.2	Lead agency received all inputs from sectoral resource persons													
1.3.	Final report published													

Box 11: **Example of a project workplan based on the example project.**

A well-prepared workplan is useful for monitoring and evaluation. The workplan is used in the progress report as a reference point for assessing the progress of the project. As well as being an indicator of progress, the workplan also highlights difficulties likely to be encountered in project implementation, identifies backlogs and bottlenecks, and facilitates advance planning to resolve anticipated problems.

Project Application Form IB
Annex I: Additional Project Information

Form IB Annex I allows the applicant to add all other information relevant on other projects to the application. It consists solely of section 6, as shown below.

6.1. **INFORMATION ABOUT YOUR COUNTRY'S GEF MINAMATA INITIAL ASSESSMENTS:** Please include here all relevant information if your country is undertaking a GEF MIA. This includes, the GEF MIA project number, project title and project objective. The Status of the MIA (is it ongoing or is it completed). Please list reports, if relevant, pertaining to the MIA and include as annex as relevant. Please also explain how this project build on and links to the GEF MIA outcome. Lastly, please indicate why this project falls outside of the GEF mandate.

6.2. **INFORMATION ABOUT YOUR COUNTRY'S ASGM NATIONAL ACTION PLAN:** Please include here all relevant information if your country is undertaking a GEF NAP. This includes, the GEF NAP project number, project title and project objective. The Status of the NAP (is it ongoing or is it completed). Please list reports, if relevant, pertaining to the NAP and include as annex as relevant. Please also explain how this project build on and links to the GEF NAP outcome. Lastly, please indicate why this project falls outside of GEF NAP implementation.

6.3. **DESCRIPTION OF OTHER GEF PROJECTS TO SUPPORT COUNTRY CAPACITY TO IMPLEMENT OBLIGATIONS UNDER THE MINAMATA CONVENTION:** Include here a description of other GEF projects to implement the obligations of the Minamata Convention.

If any, please complete the table for current and previous projects. Please provide the time frame, funding and framework of such projects, as well as details on how the outcome of the previous and ongoing projects can support or build upon the outcomes of the proposed project under the Specific International Programme.

Please outline if the proposed project will expand beyond any previous or ongoing projects.

6.4 **DESCRIPTION OF OTHER PROJECTS TO SUPPORT COUNTRY CAPACITY TO IMPLEMENT OBLIGATIONS UNDER THE MINAMATA CONVENTION**: Include here a description of other projects supported by sources other than the GEF to support country capacity to implement the obligations of the Minamata Convention.

If any, please complete the table for current and previous projects. Please provide the time frame, funding and framework of such projects, as well as details on how the outcome of the previous and ongoing projects can support or build upon the outcomes of the proposed project under the Specific International Programme.

Please outline if the proposed project will expand beyond any previous or ongoing projects.

6.5. **OTHER RELEVANT INFORMATION ABOUT THE PROJECT ACCORDING TO YOUR COUNTRY's NEEDS:** Please provide here any additional relevant information about the proposed project according to your country's needs.

Project Application Form II
Project Budget

Form II Project Budget is an excel form, to allow the applicant to reflect the financial information related to the project budget of the application. It consists of 4 tables each on a different excel sheet, as further described below.

The Specific International Programme may provide support from USD50,000 to USD 250,000.

Provide all figures in United States dollars (USD) and per year. Budgets in other currencies cannot be considered. Budgets should reflect the amount requested from the Specific International Programme, as well as other financial or in-kind contributions, if such funds are provided.[9]

Form II includes the following tables:

Table 1 Budget Summary

Please summarize here funding and, if relevant, in-kind contributions from all sources of funding.

Table 2 Annex 1: Specific International Programme Trust Fund

This table captures only costs to be covered by the Specific International Programme. It is set out by year, and in USD. Please list here the cost for each proposed measure or output and activity on a separate line, noting that the columns refer to different class codes, such as: a) staff and other personnel costs, b) contractual services, c) equipment and d) travel. This budget format is required according to UN financial rules and regulations. Please see the tab on class explanation (Table 4) for more information as required.

Table 3 Annex 2: Applicant Country Contribution, if applicable

If there is a contribution from the applicant country, please provide the budget for this contribution here. If possible, please provide the breakdown of the budget by proposed measure or output and activity, by year and in USD.

Table 4 Class Explanation

This table provides examples for the class codes. For example: travel includes workshops and meetings.

Further Notes on Budget Classes

- ☐ It is expected that applicant countries that decide to manage their projects themselves should be able to ensure project management without having to devote funds from the Specific International Programme for administrative costs. In duty justified cases, a maximum 5 per cent for administrative fees could be considered, notably if a project delivery organisation is tasked with project management.
- ☐ Personnel and contractual services costs should not exceed 50 per cent of the requested amount from the Specific International Programme.
- ☐ Enhancing national capacity for implementation requires a minimum level of commitment, notably, from an administrative and logistical perspective, it is expected that applicant countries will provide the necessary administrative and logistical support. Therefore, normal operational and running costs such as office equipment, premise, vehicles, fuel etc. are not eligible for support. In due cases, a maximum of 10 per cent for specialised and technical equipment could be considered.
- ☐ The budget for monitoring, review/evaluation and audit in total shall not exceed USD15,000.

[9] Such "costs" should also be reflected as in-kind contributions in the "funding summary" section under "value of resources contributed by the application country", of Form I.

The following costs are not eligible for support:

- ☐ Recurrent or running institutional costs, including the rental of office space.
- ☐ Costs not directly related to strengthening national capacity to implement the obligations of the Minamata Convention.
- ☐ Wages of civil servants.
- ☐ Hospitality costs, for example, costs in in connection with receptions given to participants in workshops, conference and seminars.
- ☐ Office equipment and furniture, vehicles, fuel, electricity, etc.
- ☐ Costs for individual items which are disproportional to the budget. If such costs are part of the project, they must be mentioned in the budgets and provided by other funding sources.

Please add as Annex to the Application the following if they are requested in the budget:

- ☐ Job descriptions and descriptions of the recruitment process of project personnel
- ☐ Terms of reference and description of recruitment process of consultants
- ☐ Information regarding group trainings, such as tentative dates, venue, the number of participants, cost of travel, and daily subsistence.
- ☐ Information regarding meetings and conferences, such as tentative dates, venue and number of participants, cost of travel and daily subsistence
- ☐ A list of non-expendable equipment, including the estimated costs

Annex I

Decision on the Specific International Programme by Minamata COP-1

Decision MC-1/6: Specific international programme to support capacity-building and technical assistance

The Conference of the Parties,

Recalling article 13 of the Minamata Convention on Mercury, which establishes a financial mechanism to support developing-country parties and parties with economies in transition in implementing their obligations under the Convention, and that the mechanism includes the Global Environment Facility Trust Fund and a specific international programme to support capacity-building and technical assistance,

Recalling also paragraph 6 of the resolution on financial arrangements of the Final Act of the Conference of Plenipotentiaries of the Minamata Convention on Mercury (known as "resolution 2"), in which the Conference requested the intergovernmental negotiating committee to develop a legally binding instrument on mercury "to develop for consideration by the Conference of the Parties at its first meeting a proposal for the hosting institution for the specific international programme, including any necessary arrangements with the hosting institution, as well as guidance on the operation and duration of that programme",

1. *Decides* that the hosting institution referred to in paragraph 9 of article 13 is provided by the United Nations Environment Programme;

2. *Approves* the necessary hosting arrangements, as well as guidance on the operations and duration of that programme, set out in annex I to the present decision and the terms of reference of the specific international programme set out in the annex II to the present decision;

3. *Requests* the Executive Director of the United Nations Environment Programme to establish a trust fund for the specific international programme;

4. *Also requests* the Executive Director of the United Nations Environment Programme to implement the governance arrangements set out in the annexes to the present decision.

Annex I to decision MC-1/6

Hosting arrangements, guidance on the operations of and duration of the specific international programme

A. Governance arrangements for the specific international programme

1. The Executive Director of the United Nations Environment Programme (UNEP) will deliver administrative support to the programme, through the allocation of human and other resources, through the secretariat of the Minamata Convention.[10]

2. The Conference of the Parties will establish a governing board of the specific international programme, which will oversee and implement its guidance, including decision-making on projects and project management.

B. Guidance on the specific international programme

1. Scope

3. The specific international programme is to support capacity-building and technical assistance in accordance with paragraph 6 (b) of article 13.

4. Technical assistance and capacity-building activities under the specific international programme and those undertaken by the Minamata Convention secretariat pursuant to article 14 should avoid duplication and overlap.

[10] Without prejudging the decision on the hosting of the Minamata Convention secretariat.

2. Eligibility

5. Developing-country parties and parties with economies in transition are eligible for resources under the financial mechanism in accordance with paragraph 5 of article 13 of the Convention. The specific international programme should also take full account of the specific needs and special circumstances of parties that are small island developing States and least developed countries, in line with paragraph 4 of article 13.

6. [Non-parties are not eligible to apply for funding but can participate in some activities undertaken by the specific international programme upon invitation by a Party, on a case-by-case basis.]

[6. alt Signatories to the Convention are eligible for funding from the specific international programme for technical assistance and capacity-building activities, provided that any such signatory is taking meaningful steps towards becoming a Party as evidenced by a letter from the relevant minister to the Executive Director of the United Nations Environment Programme.]

7. In presenting projects, eligible parties may consider the participation of implementing and executing agencies or other actors, such as non-governmental organizations and the regional and subregional centres of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal and the Stockholm Convention on Persistent Organic Pollutants.

3. Operations

8. The specific international programme will be guided in its operations as follows. It should:

(a) Be country-driven, taking into consideration national priorities, country ownership and the sustainable implementation of the obligations under the Convention;

(b) Ensure complementarity and avoid duplication with other existing arrangements to provide capacity-building and technical support, in particular the Global Environment Facility and the Special Programme to support institutional strengthening at the national level for implementation of the Basel Convention, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention, the Minamata Convention and the Strategic Approach to International Chemicals Management, as well as other existing assistance frameworks;

(c) Build upon lessons learned and engage at the national and regional levels, including by encouraging South-South cooperation;

(d) Be consistent with the integrated approach to financing the sound management of chemicals and waste, as relevant to the implementation of the Convention.

4. Resources

9. Resources for the specific international programme shall include financial and in-kind contributions and expertise. Contributions of resources are encouraged from a broad range of sources. This includes all parties to the Minamata Convention with the capacity to contribute, as well as other relevant stakeholders, including Governments, the private sector, foundations, non-governmental organizations, intergovernmental organizations, academia and other types of civil society actors;

10. A resource mobilization strategy for the specific international programme should be developed by the secretariat in consultation with the specific international programme Governing Board with a view to achieving the objective of the Convention and attracting a broad range of donors, building on lessons learned in other areas. It should include approaches whose purpose is to leverage resources, including in-kind resources, from non-State actors;

11. Other sources of resources for the specific international programme may be leveraged through its coordination with other relevant programmes and initiatives, including:

(a) Linkages with existing programmes and initiatives to seek co-benefits where possible;

(b) Promoting and leveraging partnerships and collaboration as appropriate, building on lessons learned from other conventions.

C. Duration

12. The specific international programme will be open to receive voluntary contributions and applications for support for a period of ten years from the establishment of its trust fund. The Conference of the Parties may decide to extend this period, not exceeding an additional seven years,

taking into account the review process of the financial mechanism in accordance with paragraph 11 of article 13 of the Minamata Convention.

Annex II to decision MC-1/6

Terms of reference of the specific international programme

A. Governing Board of the specific international programme (SIP Governing Board)

1. The Governing Board of the specific international programme (hereinafter "SIP Governing Board") shall consist of 10 members [from] [nominated by] parties. Each of the five United Nations regions shall nominate two members through their respective Bureau representatives.

2. The first members of the SIP Governing Board shall be nominated no later than 31 December 2017, and will serve until the third meeting of the Conference of the Parties to the Minamata Convention. Thereafter, the members shall be nominated every two years by regional groups and their membership confirmed by the Conference of the Parties.

3. The draft rules of procedure of its Governing Board shall be drafted by the secretariat for consideration and adoption by the Board, and presented to the Conference of the Parties at its second meeting for its information.

4. The SIP Governing Board will have two co-chairs, elected from among the members of the Board, reflecting the composition of the Board and the purpose of the Programme.

5. The SIP Governing Board will take its decisions by consensus. If all efforts to reach consensus have been exhausted and no agreement has been reached, the decision shall be taken by a three-quarters majority of its members present and voting.

6. The SIP Governing Board will in principle meet once a year to approve project applications and review progress under the Programme on the basis of reports from the Minamata Convention secretariat, as well as other relevant information provided to them on implementation of the Programme.

7. The SIP Governing Board will take operational decisions regarding the functioning of the specific international programme, including the approval of applications for funding based on the guidance provided by the Conference of the Parties and will endorse, as appropriate, criteria and procedures for application, assessment, reporting and evaluation.

8. The secretariat will process application proposals for approval by the SIP Governing Board, manage approved allocations and service the SIP Governing Board. The secretariat will report on its operations to the Governing Board and will be accountable to the Executive Director of UNEP for administrative and financial matters. The secretariat will submit an annual report to the Governing Board, which will also be presented to the Conference of the Parties, including relevant information on the rejection of project proposals.

B. Project screening, appraisal and approval processes

9. The Minamata Convention secretariat will receive applications directly from national Governments through their national focal points.

10. All those in a position to do so may provide technical assistance in the development of project applications, upon request by project applicants.

11. The Minamata Convention secretariat will screen project applications for completeness and eligibility. The secretariat will also appraise, with the appropriate staff expertise within the secretariat, applications for consideration and decision by the Governing Board, in consultation with relevant international governmental organizations, provided that there are no cost implications.

C. Administrative support to the specific international programme

12. The secretariat will provide one position for the technical assistance and capacity-building activities of the secretariat and the activities of the specific international programme, to be covered by the General Trust Fund, taking into account that the staffing requirements of the specific international programme will be reviewed.

13. The costs related to the operation of the specific international programme, including the costs of meetings, shall be funded from voluntary contributions to the programme.

D. Expected outcomes

14. The support for capacity-building and technical assistance provided by the specific international programme is expected to improve the capacity of developing-country parties and parties with economies in transition in implementing their obligations under the Convention.

E. Accounts and audit

15. The accounts and financial management of the specific international programme shall be subject to the internal and external audit process of the United Nations. Accounts for the specific international programme shall be presented to the SIP Governing Board within three months after the closure of the financial period and shall also be considered by the Conference of the Parties to the Minamata Convention.

Annex II

Article 13 and Article 14 of the Minamata Convention on Mercury

Article 13

Financial resources and mechanism

1. Each Party undertakes to provide, within its capabilities, resources in respect of those national activities that are intended to implement this Convention, in accordance with its national policies, priorities, plans and programmes. Such resources may include domestic funding through relevant policies, development strategies and national budgets, and bilateral and multilateral funding, as well as private sector involvement.

2. The overall effectiveness of implementation of this Convention by developing country Parties will be related to the effective implementation of this Article.

3. Multilateral, regional and bilateral sources of financial and technical assistance, as well as capacity- building and technology transfer, are encouraged, on an urgent basis, to enhance and increase their activities on mercury in support of developing country Parties in the implementation of this Convention relating to financial resources, technical assistance and technology transfer.

4. The Parties, in their actions with regard to funding, shall take full account of the specific needs and special circumstances of Parties that are small island developing States or least developed countries.

5. A Mechanism for the provision of adequate, predictable, and timely financial resources is hereby defined. The Mechanism is to support developing country Parties and Parties with economies in transition in implementing their obligations under this Convention.

6. The Mechanism shall include:

(a) The Global Environment Facility Trust Fund; and

(b) A specific international Programme to support capacity-building and technical assistance.

7. The Global Environment Facility Trust Fund shall provide new, predictable, adequate and timely financial resources to meet costs in support of implementation of this Convention as agreed by the Conference of the Parties. For the purposes of this Convention, the Global Environment Facility Trust Fund shall be operated under the guidance of and be accountable to the Conference of the Parties. The Conference of the Parties shall provide guidance on overall strategies, policies, programme priorities and eligibility for access to and utilization of financial resources. In addition, the Conference of the Parties shall provide guidance on an indicative list of categories of activities that could receive support from the Global Environment Facility Trust Fund. The Global Environment Facility Trust Fund shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities.

8. In providing resources for an activity, the Global Environment Facility Trust Fund should take into account the potential mercury reductions of a proposed activity relative to its costs.

9. For the purposes of this Convention, the Programme referred to in paragraph 6 (b) will be operated under the guidance of and be accountable to the Conference of the Parties. The Conference of the Parties shall, at its first meeting, decide on the hosting institution for the Programme, which shall be an existing entity, and provide guidance to it, including on its duration. All Parties and other relevant stakeholders are invited to provide financial resources to the Programme, on a voluntary basis.

10. The Conference of the Parties and the entities comprising the Mechanism shall agree upon, at the first meeting of the Conference of the Parties, arrangements to give effect to the above paragraphs.

11. The Conference of the Parties shall review, no later than at its third meeting, and thereafter on a regular basis, the level of funding, the guidance provided by the Conference of the Parties to the entities entrusted to operationalize the Mechanism established under this Article and their effectiveness, and their ability to address the changing needs of developing country Parties and Parties

with economies in transition. It shall, based on such review, take appropriate action to improve the effectiveness of the Mechanism.

12. All Parties, within their capabilities, are invited to contribute to the Mechanism. The Mechanism shall encourage the provision of resources from other sources, including the private sector, and shall seek to leverage such resources for the activities it supports.

Article 14

Capacity-building, technical assistance and technology transfer

1. Parties shall cooperate to provide, within their respective capabilities, timely and appropriate capacity-building and technical assistance to developing country Parties, in particular Parties that are least developed countries or small island developing States, and Parties with economies in transition, to assist them in implementing their obligations under this Convention.

2. Capacity-building and technical assistance pursuant to paragraph 1 and Article 13 may be delivered through regional, subregional and national arrangements, including existing regional and subregional centres, through other multilateral and bilateral means, and through partnerships, including partnerships involving the private sector. Cooperation and coordination with other multilateral environmental agreements in the field of chemicals and wastes should be sought to increase the effectiveness of technical assistance and its delivery.

3. Developed country Parties and other Parties within their capabilities shall promote and facilitate, supported by the private sector and other relevant stakeholders as appropriate, development, transfer and diffusion of, and access to, up-to-date environmentally sound alternative technologies to developing country Parties, in particular the least developed countries and small island developing States, and Parties with economies in transition, to strengthen their capacity to effectively implement this Convention.

4. The Conference of the Parties shall, by its second meeting and thereafter on a regular basis, and taking into account submissions and reports from Parties including those as provided for in Article 21 and information provided by other stakeholders:

(a) Consider information on existing initiatives and progress made in relation to alternative technologies;

(b) Consider the needs of Parties, particularly developing country Parties, for alternative technologies; and

(c) Identify challenges experienced by Parties, particularly developing country Parties, in technology transfer.

5. The Conference of the Parties shall make recommendations on how capacity-building, technical assistance and technology transfer could be further enhanced under this Article.